

Appendix NN – Record of FHWA Involvement Form

Table of Contents

Appendix NN – Record of FHWA Involvement Form	3
Chapter 1 – Introduction	3
Chapter 2 – Roles, Responsibilities & Process	3
Chapter 3 – Line-by-line Instructions for Record of Involvement	4

Appendix NN – Record of FHWA Involvement Form

Chapter 1 – Introduction

The purpose of this form is to help the Project Engineer (PE) identify the documents needed to get the E76 for a project and the role of FHWA in the engineering aspects of a project. FHWA is also interested in right of way and environmental matters among others in a project. Please refer to the guidance manual for that function for additional guidance regarding FHWA's involvement in a project.

Chapter 2 – Roles, Responsibilities & Process

As stated in Chapter 2, Section 7, of this manual the PE is to contact FHWA in the PID phase to establish early contact and to contact FHWA as the project progresses through the project development process. Project characteristics such as cost, type of funding, type of work, the role of non-Caltrans personnel in developing the project, and the use of proprietary materials affect the level of FHWA involvement in a project. Therefore a project should be evaluated more than once to confirm FHWA's level of review or involvement. The purpose of this form is to document that an evaluation occurred, who did the evaluating, and what was the outcome.

For this tool to be effective, the PE must consult with the FHWA Field Ops Engineer (FO Engineer) at the beginning of each project phase at a minimum, but ideally whenever there is a change in the characteristics described in Chapter 2 Section 7. The consultation with FHWA can be by e-mail, phone or in-person. Both the PE and the FHWA FO Engineer should sign and date the form. This provides continuity in direction should project personnel change. The form then becomes a reminder telling the PE which documents, as they are completed, must be sent to FHWA.

For projects where Caltrans is not the Implementing Agency, the form is completed by the Implementing Agency's PE, the Independent Quality Analysis engineer, and the FHWA FO Engineer. On the form any task described as done by Caltrans must be done by the Implementing Agency project personnel.

The PE provides a copy of the completed form each time it is modified to the FHWA Field Operations Engineer for his or her records.

The PE uses the information in [Chapter 2](#), Section 7, of this manual to complete the form and sends it with a brief description and a map of the project to the Field Operations Engineer for his review and concurrence. The FHWA Field Operations Engineer identifies which project documents are needed for review based on the project characteristics as described by the PE. If the FHWA FO Engineer and the PE's analysis of the level of oversight are different the PE must work with the FO Engineer to obtain consensus. The FHWA FO Engineer will declare the project to be either full-oversight or

state-authorized by marking the box in the upper right corner of the form. With the FHWA FO Engineer's signature he has determined what information is needed under the Stewardship Agreement, and identified any exceptions to the Stewardship Agreement and other approvals that have been withheld on a case-by-case basis.

Once the PE and FHWA personnel have finalized the form a copy of it must always be kept in the project files and sent to FHWA. In addition this form must become part of the RE's files and the project history files.

Unless otherwise indicated below the PE will send all requested documents. PID & PR documents are sent to the PD&E Liaison and PS&E documents are sent to the Field Operations Engineer. Submittals can be in computerized forms.

Chapter 3 – Line-by-line Instructions for Record of Involvement

The form is an excel spreadsheet. The form can be downloaded from the following link: http://www.dot.ca.gov/hq/oppd/pdpm/apdx_word/apdx-nn.xls.

Reason for meeting; this field is important for post-PID versions of the form as it will explain why the form is being revised.

Project Engineer; the engineer who has responsible charge for the project.

Design Senior Engineer/IQA Engineer: on projects where the Department is not the implementing agency this engineer participates in the development of and signs the form if the PE is someone other than a Caltrans employee. This engineer must be the one who is performing independent quality assurance of the design products (PID, PR or PS&E).

Project Initiation Document phase:

Line 1- reinforces that first discussion of the project with FHWA occurs during the PID phase.

Line 2- a traffic study memo of exception is not needed if project's design-life conforms to policy.

Line 3- this is 1st phase of FHWA's 2-part approval of change to access points. In keeping with their task manager role, the Design Senior Engineer or the Design IQA Engineer signs the memorandum to FHWA requesting the acceptability finding.

Line 4- See Chapter 19 for criteria on when VA studies must be done.

Line 5- this line applies to design exceptions developed during the PID phase.

Line 6- this line applies to design exceptions developed during the PID phase.

Line 7- these are for information only and should be sent to the PD&E Liaison.

Line 8- review all pilot or demonstration projects with FHWA FO Engineer.

Line 9- this form is completed by Caltrans maintenance staff before the PE gets an emergency contract to prepare. It is listed for information purposes.

Project Report & Environmental Document phase:

Line 10- reconfirming needed to recognize any changes to funding, project scope or project limits.

Line 11- this line applies to design exceptions developed during the Project Report phase.

Line 12- this line applies to design exceptions developed during the Project Report phase.

Line 13- this is listed for information purposes only as it is the responsibility of the project's Environmental Generalist. The PE should record on the form when this was completed.

Line 14- this is listed for information purposes only as the policy had not been fully implemented as yet. The PE should record on the form when this was completed.

Line 15- this is listed for information purposes only as it is the responsibility of the project's Project Manager.

Line 16- this is listed for information purposes only as it is the responsibility of the project's Project Manager.

Line 17- See Chapter 19 for criteria on when VA studies must be done.

Line 18- FHWA expects written correspondence for each item listed.

Line 19- this is 2nd phase of FHWA's 2-part approval of change to access points. This will be a formal letter and not an e-mail.

Line 20- this is listed for information purposes only as it is the responsibility of the project's Environmental Generalist. The PE should record on the form when this was completed. When NEPA approval is delegated submittal will be for information only.

Line 21- this should be sent to the PD&E Liaison for their information.

Line 22- this should be sent to the PD&E Liaison for their information.

Plans Specifications & Estimate phase:

Line 23- reconfirming needed to recognize any changes to funding, project scope or project limits.

Line 24- this line applies to design exceptions developed during the PS&E phase.

Line 25- this line applies to design exceptions developed during the PS&E phase.

Line 26- this is listed for information purposes only as the policy had not been fully implemented as yet

Line 27- no clarifying information needed

Line 28- no clarifying information needed. The purpose of this item is to verify Line 18.

Line 29- PE submits.

Line 30- PE submits

Line 31-Date of FHWA PS&E Approval Transmittal (see RTL guide).
Download the form and send separately if sending most documents via e-mail or on CD. FHWA expects items on lines 31-45 to be a package.

Line 32- for project where CT performs AAA send to DES-OE. Prepare a letter for FHWA FO Engineer's information when local agency performs AAA.

Line 33- send separately if not included in Line 31.

Line 34- send separately if not included in Line 31.

Line 35- send separately if not included in Line 31.

Line 36- must send hard copies

Line 37- no clarifying information needed

Line 38- this document starts in the PA & ED phase. It is a joint project between the PE and the Environmental Generalist. The PE should submit the version that was incorporated into the plans and specifications.

Line 39- this is listed for information purposes only as it is the responsibility of the project's Environmental Branch Chief.

Line 40- no clarifying information needed.

Line 41- no clarifying information needed.

Line 42- no clarifying information needed.

Line 43- no clarifying information needed.

Line 44- no clarifying information needed.

Line 45- E76 is electronic version of F&M76.

Construction Administration phase:

Line 46- The PE should record on the form when this was completed and more than once if necessary.

Line 47- The PE should record on the form when this was completed.

Line 48- this is listed for information purposes only as it is the responsibility of the project's Resident Engineer.

Line 49- this is listed for information purposes only as it is the responsibility of the project's Resident Engineer.

Line 50- this is listed for information purposes only as it is the responsibility of the project's Resident Engineer.

Line 51- this is listed for information purposes only as it is the responsibility of the project's Resident Engineer.